

Appendix D

Letters, Contacting Materials, and Website Content

Chief Administrative Officer Letter.....D-3

NPSAS:16 Brochure Text.....D-5

NPSAS:16 Overview of NPSAS Activities.....D-8

Postsecondary Data Portal Flyer Text.....D-9

First Institutional Coordinator Letter.....D-10

Second Institutional Coordinator Letter.....D-12

Website Text.....D-14

Three mailings are planned for this stage of data collection. The data collection materials contained in this appendix will be distributed into the three mailings as detailed below.

Chief administrative officer mailing:

1. Chief administrative officer letter
2. NPSAS brochure
3. NPSAS:16 Overview of NPSAS Activities
4. Postsecondary Data Portal flyer
5. Designate a Coordinator Form¹

First institution coordinator mailing:

1. First institution coordinator letter
2. NPSAS brochure
3. NPSAS:16 Overview of NPSAS Activities
4. Postsecondary Data Portal flyer
5. Institution Registration Page²

Second institution coordinator mailing:

1. Second institution coordinator letter
2. NPSAS:16 Overview of NPSAS Activities
3. Postsecondary Data Portal flyer
4. Instructions for Preparing the Student Enrollment List³

¹ The Designate a Coordinator Form will not be sent to chief administrators in the mailing, but they will be asked in this mailing to go online to complete this web form.

² The Institutional Registration Page (IRP) will not be sent to institution coordinators in the mailing, but they will be asked in the mailing to go online to complete this short online questionnaire.

³ The Instructions for Preparing the Student Enrollment List will not be sent to institution coordinators in the mailing, but they will be asked in the mailing to go online, both to review the instructions and to upload their enrollment list.

Chief Administrative Officer Letter

September 20, 2015

ACPA-
College Student
Educators International
American
Association of
Collegiate
Registrars and
Admissions
Officers
American
Association of
Community Colleges
American
Association of State
Colleges and Universities
American
Council on Education
Association
for Institutional Research
Association of
American Colleges and
Universities
Association of
Catholic Colleges and
Universities
Association of
Private Sector Colleges
and Universities
Association of
Public and Land-grant
Universities
The Carnegie
Foundation for the
Advancement of
Teaching
The College
Board
Council of
Graduate Schools
The Council
of Independent Colleges
Hispanic
Association of Colleges
and Universities
Midwestern
Higher Education
Compact
NASPA-
Student Affairs
Administrators in Higher
Education
National
Association of College
and University Business
Officers
National
Association of
Independent Colleges
and Universities
National
Association of Student
Financial Aid
Administrators
New England
Board of Higher
Education
Southern
Regional Education
Board
State Higher
Education Executive

(Salutation) (FirstName) (LastName) Your IPEDS
UNITID: (UnitID)
(Title) Your password:
(Password)
(Institution)
(Address)
(City), (State) (Zip)

Dear (Salutation) (LastName):

(Institution) has been selected to participate in the 2015–16 National Postsecondary Student Aid Study (NPSAS:16). The 2008 Higher Education Opportunities Act (20 U.S.C. § 1015) mandates that the U.S. Department of Education, National Center for Education Statistics (NCES) periodically gather information from postsecondary institutions on how students and their families finance postsecondary education. In response to this requirement, NPSAS has collected information from postsecondary students and institutions since 1987. NPSAS:16 data collection is being administered for NCES by RTI International, a not-for-profit research organization.

I am writing to request that you appoint a NPSAS coordinator who will be asked to send a data file of students enrolled at your institution in 2015–2016. RTI will select a sample of students from your institution, and then ask the NPSAS coordinator to provide additional information on the enrollment status, demographic characteristics, and financial assistance provided for each sampled student. At the same time, the sampled students will be asked to complete a web-based questionnaire.

At your earliest convenience, please complete the *Designate a Coordinator form online at the NCES Postsecondary Data Portal (PDP) website, using the IPEDS UNITID and password located at the top of this letter.*

The enclosed brochure describes our data collection procedures and provides a summary description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information, and other data collected. All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, except as required by law (20 U.S.C. § 9573). Additional information, including reports based on data from previous NPSAS studies, is available on the PDP website: <https://surveys.nces.ed.gov/portal>.

We are aware that you and the staff at your institution are confronted with many competing demands for your time. Therefore, we are providing you—and the coordinator you designate—with this advance notice of the study to allow you adequate time to plan for this data collection effort and, if needed, to contact us for more information prior to the start of student list collection in early 2016. Once a coordinator is designated, an RTI representative will contact him or her to discuss the study timeline and the information needed from your institution.

If you have any questions about the study or procedures involved, please contact the RTI NPSAS Institution Contact, Tiffany Mattox, at 1-855-500-1441 or via e-mail at PortalHelp@rti.org. You may also direct questions to NCES by contacting Tracy Hunt-White, Ph.D. at 202-502-7438 (e-mail address: Tracy.Hunt-White@ed.gov).

We look forward to your participation in this important study. Thank you for your cooperation and prompt completion of the *Designate a Coordinator* form.

Sincerely,

(electronic signature)

Peggy Carr, Ph.D.
Acting Commissioner
National Center for Education Statistics

Enclosures

The *Designate a Coordinator* form may be completed online at:

<https://surveys.nces.ed.gov/portal>

To access the online form, enter the user name (which is your IPEDS UNITID) and password below.

COVER:

2015–16 National Postsecondary Student Aid Study (NPSAS:16)

<NCES logo>

National Center for Education Statistics
Institute of Education Sciences
NCES <xxxx-xxx>

About the Study

The affordability of education after high school is a vital concern for students and policymakers. That is why the information gathered by the 2015-16 National Postsecondary Student Aid Study (NPSAS:16) is so important. This study explores how students pay for postsecondary education and provides comprehensive data on the enrollment status, education goals, employment, and demographic characteristics of students continuing their education after high school.

NCES is authorized by federal law to collect, collate, analyze, and report complete statistics on the condition of education in the United States and other nations. Through the Higher Education Opportunity Act of 2008 (20 U.S.C. § 1015), Congress requires that NCES collect information from postsecondary institutions on how students and their families finance education beyond high school. In response to this requirement, NPSAS has collected information from postsecondary students and institutions since 1987.

The purpose of NPSAS is to compile comprehensive data about the full range of student financial aid programs, together with demographic and enrollment data. The study provides vital information about the affordability of postsecondary education and the effectiveness of existing financial aid programs. NPSAS includes students enrolled at public and private nonprofit, 2- and 4-year postsecondary institutions, as well as students at less-than-2-year and private for-profit institutions.

Importance of the Data

NPSAS is the primary source of data used by the agencies of the federal government and higher education associations to analyze the effectiveness of current federal student financial aid programs. It is used by the Congressional Budget Office (CBO), the Government Accountability Office (GAO), the Office of Management and Budget (OMB), the U.S. Department of Education, the American Council on Education (ACE), the National Association of Independent Colleges and Universities (NAICU), the National Association of Student Financial Aid Administrators (NASFAA), and many others to prepare the reports that influence the direction of federal student aid policies.

OVERVIEW OF DATA COLLECTION

Early fall 2015

The Chief Administrator at each selected institution will be asked to designate a NPSAS coordinator.

Early to Mid-fall 2015

The NPSAS coordinator will be provided with a user name and password and then asked to complete a brief institution registration page on the NCES Postsecondary Data Portal website.

Beginning in January 2016

The NPSAS coordinator provides a list of enrolled students at the institution. The NPSAS student sample is selected from the list of students received from each institution.

Beginning in February 2016

The NPSAS coordinator provides student record data for the sampled students. At the same time, sampled students are contacted to complete an online or telephone survey.

Confidentiality of Data

NCES is required to follow strict procedures to protect the confidentiality of persons in the collection, reporting, and publication of data. All individually identifiable information supplied by individuals or institutions to a federal agency may be used only for statistical purposes and may not be disclosed or used in identifiable form for any other purpose, except as required by law (ESRA 2002, 20 U.S.C. § 9573).

The *Family Educational Rights and Privacy Act of 1974 (FERPA)* (20 U.S.C. § 1232g) allows for the release of institution record information to the Secretary of Education or his agent without prior consent of survey members [20 U.S.C. 1232g(b)(3)]. RTI International, as the contractor for NCES, has been given the authority to collect information from institution records under the provisions of the Higher Education Opportunity Act of 2008 (20 U.S.C. § 1015). FERPA requires NCES and RTI to protect the confidentiality of all obtained data.

Protection of electronic files

All electronic files from institution records and student interviews will be protected. Computer accounts used to access data will be password protected with multilevel access controls to ensure that only authorized individuals are allowed access to confidential data. For the web-based data collection, proven methods of protection for online sessions and data security over the Internet will be used. Secure Sockets Layer (SSL) protocol will be used to encrypt the data. All of the data entry modules on the website will be password protected, which will require the user to log in to the site before accessing confidential data.

Protection of paper records

All paper records will be maintained in locked storage cabinets. A unique study identification variable (not the Social Security Number or school ID) will be created and maintained for each sample member to protect against disclosure of confidential data.

Preparation of data for public release

It will not be possible to identify specific individuals in any data (e.g., statistical tables) released to the general public.

For assistance, please contact the help desk
or visit the website: <https://surveys.nces.ed.gov/portal>

Data Portal Help Desk

1-855-500-1441
PortalHelp@rti.org

**If you have questions or concerns about NPSAS:16,
you may contact the following:**

RTI International*

Tiffany Mattox
NPSAS Institution Contact
PortalHelp@rti.org

Jennifer Wine, PhD
Project Director, NPSAS
Jennifer@rti.org

1-855-500-1441

National Center for Education Statistics (NCES)

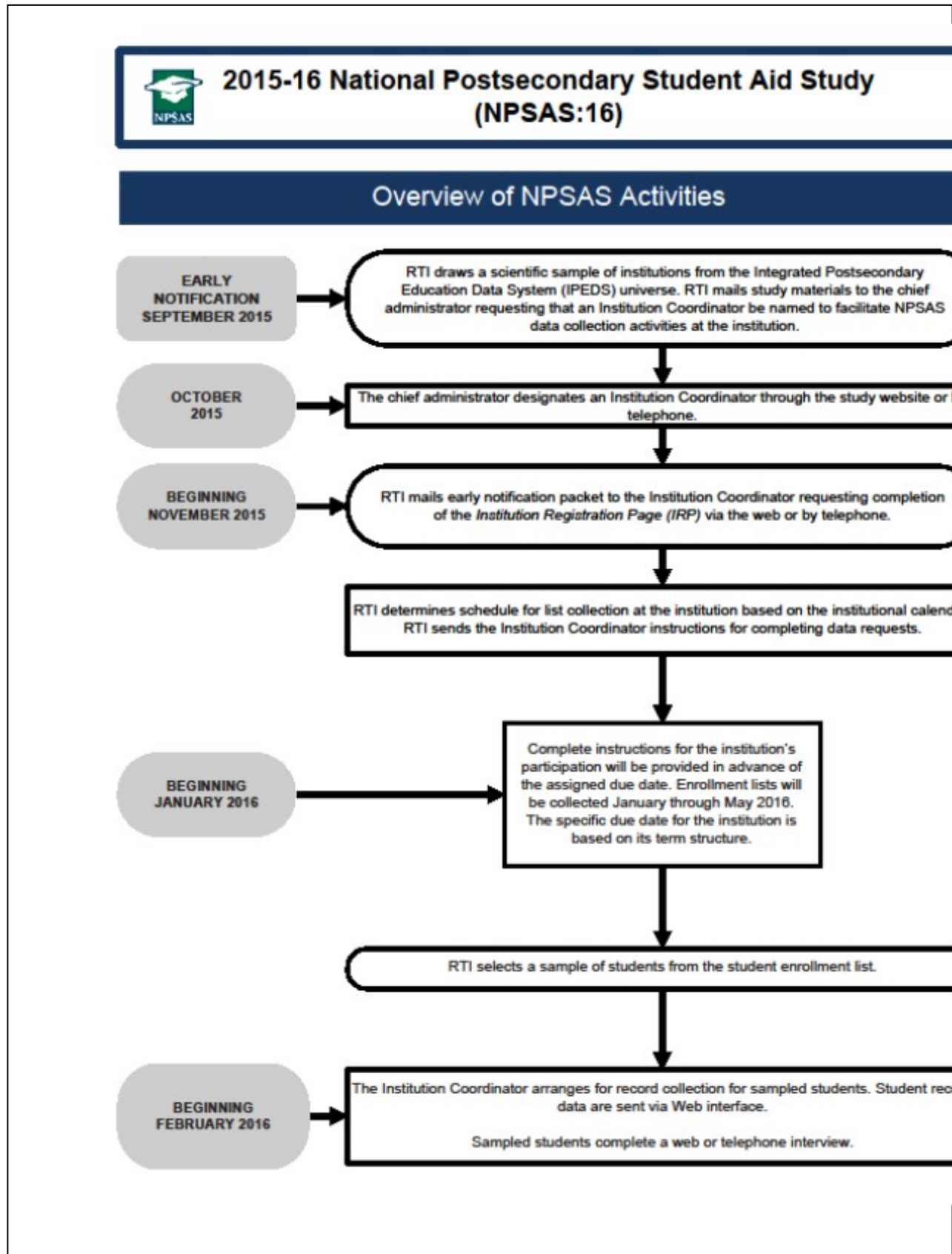
Tracy Hunt-White, PhD
NCES Project Officer, NPSAS
Tracy.Hunt-White@ed.gov
(202) 502-7438

Sponsored by

<NCES logo>

U.S. Department of Education
National Center for Education Statistics, Washington, DC
<http://nces.ed.gov>

* RTI International is a trade name of Research Triangle Institute



Postsecondary Data Portal Flyer Text

NPSAS:16 Postsecondary Data Portal (PDP)

National Center for Education Statistics (NCES)

The new NCES Postsecondary Data Portal allows institutions to provide data for NCES sample studies easily—at one central location!

What is the Postsecondary Data Portal?

The Postsecondary Data Portal (PDP) was created with input from institutions like yours!

By taking advantage of the PDP, you can help NCES collect, analyze, and disseminate valuable information about education in the United States. These data provide much-needed information on vital concerns to students, families, policymakers, and the academic community.

Key Features of the PDP

- Eliminates the need to visit a separate website for each study
- Creates consistency across studies, as all data are collected using the same interface
- Presents frequently asked questions, timelines, confidentiality information, and contact information for each study currently in progress
- Gives valuable information on current studies' objectives and research questions, as well as access to data and publications from previous studies
- Provides easy access to the NCES DataLab, where you can create tables and graphs with NCES datasets

How do I use the PDP?

We will contact you when your institution is in an active data collection and supply you with your PDP username and password.

The PDP Task Menu will list the steps to follow to provide data.

Depending on your institution's capabilities and specific request, you can choose the most convenient way to provide your data (e.g., uploading data).

Find out more!

Visit the PDP website at <https://surveys.nces.ed.gov/portal> for more information.

You can also contact our help desk at 1-855-500-1441 or PortalHelp@rti.org. Help Desk staff are available from 9:00 a.m. to 6:30 p.m. Eastern time, Monday – Friday.

First Institutional Coordinator Letter

NPSAS
Endorsed by

November 15, 2015

(Salutation) (FirstName) (LastName)
(Title)
(Institution)
(Address)
(City), (State) (Zip)

Your IPEDS UNITID: (UnitID)
Your password: (Password)

Dear (Salutation) (LastName):

(Institution) has been selected to participate in the 2015–16 National Postsecondary Student Aid Study (NPSAS:16). The 2008 Higher Education Opportunities Act (20 U.S.C. § 1015) mandates that the U.S. Department of Education, National Center for Education Statistics (NCES) periodically gather information from postsecondary institutions on how students and their families finance education beyond high school. In response to the continuing need for these data, NPSAS has collected information from both postsecondary students and institutions since 1987. NPSAS:16 data collection is being administered for NCES by RTI International, a not-for-profit research organization.

The chief administrative officer of your institution has selected you as your institution's coordinator for NPSAS:16. As such, you will have three primary responsibilities:

- Complete the brief *Institution Registration Page* on the NCES Postsecondary Data Portal (PDP) website or by telephone within the next few weeks. We will schedule data collection for your institution based on the information you provide.
- Oversee the preparation of a list of students enrolled at your institution. The list will be used to draw a sample of students from your institution for participation in NPSAS:16.
- Complete a separate web-based program (or prepare a data file) providing institution records on such information as enrollment status, demographic characteristics, and financial assistance provided for the sampled students.

At your earliest convenience, please complete the *Institution Registration Page* online at the PDP website, using the IPEDS UNITID and password located at the top of this letter.

Complete instructions for your institution's participation will be sent directly to you in advance of the due date established for your institution. Enrollment lists will be collected January through May 2016. A specific due date will be determined based on your institution's term structure.

ACPA- College Student
Educators International
and
American Association of
Collegiate Registrars
Admissions Officers
American Association of
Community Colleges
American Association of
State Colleges and Universities
Education
American Council on
Institutional Research
Association for
Colleges and Universities
Association of American
Colleges and Universities
Association of Catholic
Colleges and Universities
Association of Private
Sector Colleges and Universities
Association of Public
and Land-grant Universities
The Carnegie
Foundation for the Advancement of
Teaching
The College Board
Council of Graduate
Schools
The Council of
Independent Colleges
Hispanic Association of
Colleges and Universities
Midwestern Higher
Education Compact
NASPA- Student Affairs
Administrators in Higher Education
National Association of
College and University Business
Officers
National Association of
Independent Colleges and
Universities
National Association of
Student Financial Aid
Administrators
New England Board of
Higher Education
Southern Regional
Education Board
State Higher Education
Executive Officers
The United Negro
College Fund
Western Interstate
Commission for Higher Education

We are aware that you and other staff at your institution are confronted with many competing demands for your time. We hope that giving you this advance notice of the study will provide you with ample time to plan for your school's participation in NPSAS:16. A project representative will call you in the next few days to ensure that you have received this notification and to answer any questions that you may have.

The enclosed brochure and project timeline detail our data collection procedures and provide a detailed description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information, and demographic data collected. All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (20 U.S.C. § 9573).

Additional information, including reports based on data from previous NPSAS studies, is available on the PDP website: <https://surveys.nces.ed.gov/portal>.

If you have questions about the study or procedures, please contact the RTI NPSAS Institution Contact, Tiffany Mattox, at 1-855-500-1441 or via e-mail at PortalHelp@rti.org. You may also direct questions to NCES by contacting Tracy Hunt-White, Ph.D. at 202-502-7438 (Tracy.Hunt-White@ed.gov).

We look forward to your participation in this important study.

Thank you for your cooperation.

Sincerely,

(electronic signature)

Peggy Carr, Ph.D.
Acting Commissioner
National Center for Education Statistics

Enclosures

The NPSAS *Institution Registration Page* may be completed online at:

<https://surveys.nces.ed.gov/portal>

To access the Institution Registration Page, enter the user name (which is your IPEDS UNITID) and password
below

Second Institutional Coordinator Letter

NPSAS
Endorsed by

December 5, 2015

ACPA- College Student Educators
International

American Association of
Collegiate Registrars and
Admissions Officers

American Association of
Community Colleges

American Association of State
Colleges and Universities

American Council on Education

Association for Institutional
Research

Association of American Colleges
and Universities

Association of Catholic Colleges
and Universities

Association of Private Sector
Colleges and Universities

Association of Public and Land-
grant Universities

The Carnegie Foundation for the
Advancement of Teaching

The College Board

Council of Graduate Schools

The Council of Independent
Colleges

Hispanic Association of Colleges
and Universities

Midwestern Higher Education
Compact

NASPA- Student Affairs
Administrators in Higher Education

National Association of College and
University Business Officers

National Association of Independent
Colleges and Universities

National Association of Student
Financial Aid Administrators

New England Board of Higher
Education

Southern Regional Education Board

State Higher Education Executive
Officers

The United Negro College Fund

Western Interstate Commission for
Higher Education

(Salutation) (FirstName) (LastName)
(Title)
(Institution)
(Address)
(City), (State) (Zip)

Your IPEDS UNITID: (UnitID)

Your password: (Password)

Student Enrollment List Due: (Date)

Dear (Salutation) (LastName),

We are pleased that (Institution) has agreed to participate in the 2015–16 National Postsecondary Student Aid Study (NPSAS:16), which is conducted by the National Center for Education Statistics (NCES), U.S. Department of Education. As described in our earlier letter to you, NCES is mandated by Congress to conduct this important study on how students and their families finance education after high school. Data collection for this study is being administered for NCES by RTI International.

As you know, you have been designated as your institution's coordinator for NPSAS:16. We look forward to working with you on this important research effort, and are available to answer any questions you may have.

As the Institution Coordinator, you are asked to oversee completion of the following tasks:

- ✓ Complete the brief *Institution Registration Page* online at the NCES Postsecondary Data Portal (PDP) website <https://surveys.nces.ed.gov/portal> by using the UNITID and password printed at the end of this letter.

Thank you for completing this form; the information you submitted helps us schedule data collection for your institution.

- Oversee the preparation of a list of students enrolled at your institution and submit the list by the deadline below. The list of students will be used to draw a sample of students from your institution for participation in the study. Beginning in spring 2016, sampled students will be asked to complete a web-based questionnaire.
- Provide student records data—such as enrollment status, demographic characteristics, and financial aid—for the sampled students by uploading data files, keying data, or a combination of both through our secure web interface. After your list of enrolled students is submitted, we will contact you to confirm a due date for student records data.

The initial due date for providing your student enrollment list is (Date). Complete specifications for compiling this list and uploading it to the secure website are provided online at the PDP website.

If you are unable to meet your institution's deadline, or have any questions about the information requested for the student list, please contact the Help Desk at 1-855-500-1441.

The PDP website at <https://surveys.nces.ed.gov/portal> provides complete instructions for participation, including a summary description of the laws and procedures safeguarding the confidentiality of questionnaire responses, contact information, and demographic data collected. Additional information, including reports based on data from previous NPSAS studies, is also available on the PDP website. Be assured that all responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose except as required by law (20 U.S.C. § 9573).

If you have questions about the study or procedures, please contact Tiffany Mattox, the RTI NPSAS Institution Contact, at 1-855-500-1441 or via e-mail at PortalHelp@rti.org. You may also direct questions to NCES by contacting Tracy Hunt-White, Ph.D. at 202-502-7438 (Tracy.Hunt-White@ed.gov).

Thank you for your cooperation.

Sincerely,



Jennifer Wine, Ph.D.
Director, NPSAS:16
Center for Education Surveys
RTI International



Tracy Hunt-White, Ph.D.
NCES Project Officer
National Center for Education Statistics
U.S. Department of Education

Your institution's response to the National
Postsecondary Student Aid Study may be completed online
at

<https://surveys.nces.ed.gov/portal>

To upload lists or other data, login on the home
page. You will be prompted to enter the user name (which is
your IPEDS UNITID) and password below.

Website Text

Postsecondary Data Portal Website Content - before log in

Home page

IES logo

Login <IPEDS UnitID> <Password>

Welcome to the Postsecondary Data Portal

An online data collection portal used by institutions to provide data for various educational studies that are sponsored by the National Center for Education Statistics (NCES), part of the U.S. Department of Education.

Log in above to get started.

Click below to visit the NCES website and learn more about the studies that use this portal.

<link to NCES website for NPSAS>

<link to NCES website for BPS>

<link to NCES website for B&B>

<link to NCES website for HSLS:09>

See Prior NCES Studies' data in action: <link to <http://nces.ed.gov/datalab/>>

(Text below is on footer of every page)

Other NCES Links

NCES DataLab

National Center for Education Statistics

Contact Info

Help Desk: PortalHelp@rti.org or 1-855-500-1441

RTI Institution Contact Tiffany Mattox or 1-855-500-1441

RTI Project Director Jennifer Wine, Ph.D. or 1-855-500-1441

NCES Project Officer Tracy Hunt-White, Ph.D. or (202) 502-7438

Latest Tweets

<link to NCES Tweeter feed>

OMB Clearance No:1850-xxxx Expires xx/xx/xxxx

About

About this website

This website serves as a portal for institutions to provide data for studies sponsored by the [National Center for Education Statistics \(NCES\)](#), United States Department of Education. Each of the studies collects data that are used by NCES for reporting and analysis. Any data released to the public will be in aggregate form (e.g., statistical tables, graphs). Review the FAQs or log in to learn more. Background information on each study can be accessed from the Home page.

The Education Sciences Reform Act of 2002 (ESRA) (20 U.S.C. § 9543) authorizes NCES to collect and disseminate information about education in the United States. NCES is the primary federal entity for collecting and analyzing data related to education in the U.S. and other nations. NCES is located within the Institute of Education Sciences of the U.S. Department of Education. NCES fulfills a Congressional mandate to collect, collate, analyze, and report complete statistics on the condition of American education; conduct and publish reports; and review and report on education activities internationally.

NCES has contracted with RTI International* to administer these studies. RTI is an independent, nonprofit contract research organization located in Research Triangle Park, NC, that was established by a joint action of three major universities in North Carolina: University of North Carolina at Chapel Hill, North Carolina State University, and Duke University. RTI began operations in 1958 and has provided contract support to NCES on postsecondary research that dates back to 1971.

Annually, NCES also conducts a system of interrelated surveys entitled the Integrated Postsecondary Education Data System (IPEDS) through a different [website](#). IPEDS gathers information from every college, university, and technical and vocational institution that participates in the federal student financial aid programs. These data are made available to students and parents through the [College Navigator](#) college search Web site and to researchers and others through the IPEDS Data Center.

*RTI International is a registered trademark and trade name of Research Triangle Institute.

Contact Us

CONTACT US

Name


Email

Organization (optional)

Phone (optional)

Comments

Contact information you provide in this form will only be used to follow up on your message and no other reason.

 Telephone contact information can be found at the bottom of each page of this website.

FAQs

FAQs - General (these apply across projects and are available before the user logs in.)

Who is collecting these data?

The National Center for Education Statistics (NCES), in the United States Department of Education's Institute of Education Sciences, has contracted with RTI International to collect data for the studies that use this website. The studies are listed on the Home page. RTI International is an independent, nonprofit research organization located in Research Triangle Park, NC that was established as a joint action of the three major universities in North Carolina: University of North Carolina at Chapel Hill, North Carolina State University, and Duke University. RTI International began operations in 1958 and has provided contract support to NCES on postsecondary education research since 1971.

By what authority does NCES collect this information?

Congress has authorized (20 U.S.C. § 9543) the National Center for Education Statistics within the U.S. Department of Education to conduct these studies in compliance with the Education Sciences Reform Act of 2002 (20 U.S.C. § 9573), the Federal Statistical Confidentiality Order of 1997, the Privacy Act of 1974 [5 U.S.C. § 552a], and the E-Government Act of 2002. Each study has been approved by the U.S. Office of Management and Budget (OMB).

How was my institution selected?

The National Postsecondary Student Aid Study (NPSAS) scientifically samples institutions from all Title IV institutions included in the [Integrated Postsecondary Education Data System \(IPEDS\)](#). For the longitudinal studies, sample members have identified which institutions they attended when completing the student interview; this information may also come from other administrative data sources. Transcripts and financial aid records are collected from the postsecondary institutions attended by sample members.

Why is participation important?

The quality and affordability of postsecondary education are vital concerns for students and their families. The National Postsecondary Student Aid Study (NPSAS) is designed to describe how students meet the cost of education beyond high school and it provides comprehensive data on the enrollment status, education goals, employment, and demographic characteristics of postsecondary students.

The longitudinal studies collect data from transcripts, financial aid records, and/or student interviews to provide much-needed information on the course of study of today's college students as they begin, leave, and re-enter postsecondary study, transfer between institutions, and complete programs at all levels of institutions. The combination of transcripts and other study data collected through interviews, file matching, and record abstraction, affords researchers the opportunity to summarize the undergraduate and graduate paths taken by sample members and provides them with an important link between academic performance and outcomes.

Do we need to have the student's permission before providing this information?

No. Student or parental consent is not required for release of student record information for the purposes of these studies. The data request conforms fully to the requirements of the Family Educational Rights and Privacy Act of 1974 (FERPA) (34 CFR Part 99). Under FERPA's general consent rule, NCES is authorized to obtain student level data from institutions for any study-eligible student, without prior consent, if the disclosure is to an organization administering studies for, or on behalf of, NCES. Student data are subject to strict protections that are adhered to by NCES and its contractor organizations. You can review this legislation on the U.S. Department of Education's website at <http://www2.ed.gov/policy/gen/reg/ferpa>.

FERPA regulations also stipulate that all disclosures be reported in the student record, with an indication of who received the information and their legitimate interests in the information. For schools without electronic student record systems, a Disclosure Notice may also be printed after log in from the Reference Materials page. These notices fulfill the requirements of 34 CFR 99.32(a) pursuant to the Family Educational Rights and Privacy Act (20 U.S.C. 1232g). Electronic student record systems will require the insertion of a similar statement.

What about confidentiality of the data collected?

Both NCES and RTI International follow strict procedures to protect the privacy and confidentiality of study participants. All project staff members have signed confidentiality agreements and affidavits of nondisclosure. Any data released to the public will be in aggregate form (e.g., statistical tables, graphs). Information obtained may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, except as required by law (Education Sciences Reform Act of 2002, 20 U.S.C. § 9573).

Are the data secure when sending via the portal website?

Yes. Secure Sockets Layer (SSL) protocol is used to encrypt the data transmitted over the Internet. All data entry modules are password-protected and require users to log in before they are allowed access to confidential data. The system automatically logs the user out after 20 minutes of inactivity. These safeguards prevent unauthorized access to the password-protected site.

The forms that gather data on this website require session cookies to run. RTI upholds the U.S. Department of Education's privacy policy with respect to the use of cookies. Web servers will send a cookie containing a unique session ID to the Web user in order to remember the user as he or she moves from page to page during a session. The cookie does not get written to the user's hard disk, nor does it contain personal data about the user. At the end of the session, the cookie is deleted when the user closes his/her browser. The most recent versions of Microsoft Internet Explorer, Google Chrome, and Mozilla Firefox allow for rejecting all cookies other than those required for session tracking.

How do we provide the data?

The data are submitted by upload or keying as well as other methods. After logging in, you will see a list of what is needed on the Postsecondary Data Portal Task Menu. You can click on any active menu option.

What assistance is available from RTI staff?

The Help Desk at RTI International is available to answer your questions about the studies and using this website. Please call 1-855-500-1441 or e-mail PortalHelp@rti.org with your concerns. Help Desk staff are available from 9:00 a.m. to 6:30 p.m. Eastern time, Monday - Friday.

Postsecondary Data Portal Website Content - after log in

Paperwork Reduction Act of 1995

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number. The valid OMB control numbers for the voluntary information collections using this website are listed below. The time required to complete the information collections is estimated to average the number of minutes or hours listed below per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection.

If you have any comments concerning the accuracy of the time estimate, suggestions for improving the collections, or any comments or concerns regarding the status of your individual submission of these data, please write to: Postsecondary Data Portal studies, National Center for Education Statistics, 1990 K Street, NW, 9th floor, Washington, DC 20006.

OMB Clearance No: 1850-xxxx Expiration Date: xx/xx/xxxx

NPSAS:16 Enrollment Lists: 2.75 hours

POSTSECONDARY DATA PORTAL TASK MENU

Welcome, it's time to complete the tasks below.

Your participation in studies developed by the National Center for Education Statistics is very important.

The data collected from your institution will provide much-needed information on the academic experience of today's postsecondary students as they begin, leave, and re-enter postsecondary study, transfer between institutions, and complete programs at all types of institutions.

Please complete the tasks indicated by a green arrow.

Designate a Coordinator

Complete the Institution Registration Page (see Supporting Statement Part C for items)

Provide Your Student Enrollment List

Designate a Coordinator

Please verify the information below and make any corrections as needed. Then please assign a coordinator who will be your institution's primary contact for NCES postsecondary studies. The study coordinator will receive all further communication about study procedures and deadlines.

Please note that we need a 'Fedex-friendly' address - no PO Box addresses, please!

Chief Administrator

Salutation

Name

Title

Institution
Address
Telephone
Fax
Email

Coordinator

Salutation
Name
Title
Institution
Address
Telephone
Fax
Email

Institution Registration Page

(see Supporting Statement part C for items)

(Once you click Submit)

THANK YOU

Thank you. The requested information for your institution has been submitted.

What happens next?

RTI will contact you with a deadline by which to provide the list of enrolled students. After RTI receives your student list, a random sample of students from the list will be selected for participation in NPSAS:16. You will then be asked to provide specific enrollment and financial aid data from those sampled students' records. A web-based application has been developed to assist you in completing the student record collection and securely providing the data to RTI. The online application will be available on the study website once your sample has been selected.

NCES is required to follow strict procedures to protect the confidentiality of persons in the collection, reporting, and publication of data. Any individually-identifiable information supplied by individuals or institutions to a federal agency may be used only for statistical purposes and may not be disclosed or used in identifiable form for any other purpose, except as required by law (20 U.S.C. § 9573).

Provide Your Student Enrollment List

1. Follow these instructions to prepare your student enrollment list.

2. Check your list for errors

Please take the time to review your list for errors, including the following common errors:

- Is the contact information provided associated with the correct name (i.e., make sure that the "rows did not shift")?
- Is educational level provided for all students?
- If your institution awards baccalaureate degrees, is baccalaureate degree status (Fields 14 and 15) provided for all students?

- Did you include students from all campuses/schools (e.g., law school, medical school) reported under your IPEDS UNITID?

3. Provide information about your list

Date your list of students was prepared:

Contact information for staff who prepared the list:

Name

Department

E-mail Address

Telephone number

In the space below, provide any details that will clarify the layout of the enrollment list you are submitting, as well as any information necessary to correctly interpret the data provided. Define any special codes or abbreviations (e.g., major codes, class levels).

Comments:

Exclusion counts

In each of the categories shown below, approximately how many students have been excluded from your institution's enrollment list?

Count of Students

Reason

_____ Did not meet the NPSAS eligibility requirements (*This item will be removed if Eligibility Determination Option A is implemented.*)

_____ Student requested that their information not be provided to external parties

_____ Excluded for any other reason

_____ Total

4. Upload Student Enrollment List

Press the Upload File button to locate the file that contains your student list.

*(Files must be of type: .txt, .csv, .xls, .xlsx, .doc or .zip. Please zip your file if it is larger than 3MB.)

(Upload File)

National Postsecondary Student Aid Study (NPSAS)

INSTRUCTIONS FOR PREPARING YOUR STUDENT ENROLLMENT LIST

A sample of students will be randomly selected from the list of enrolled students that you provide, and will be combined with samples selected from other institutions to form a nationally representative sample of postsecondary students. To ensure a scientifically valid sample, it is extremely important that you follow the instructions provided in this document when preparing your institution's list. We realize that postsecondary institutions vary widely in their organizational structures, and that some of the criteria presented below may not apply to your institution. Should you have any questions about these instructions, or whether students should or should not be included on the list, we urge you to contact the NPSAS Help Desk:

- Phone: 1-855-500-1441
- E-mail: PortalHelp@rti.org

Step 1: Determine Which Students to Include

Include all students enrolled at your institution at any time between
July 1, 2015 and April 30, 2016

Your enrollment list should include students from all campuses, colleges, and schools, including graduate schools, reported under your IPEDS UNITID. Include students enrolled at any time between July 1, 2015 and April 30, 2016.

Eligibility Determination Option A does not implement the next portion of step 1 and it will be removed from these instructions. Eligibility Determination Option B does require this additional instruction.

NPSAS Study Eligibility Requirements

Only include students on the list if they meet all of the eligibility requirements listed below.

1. The student must have been enrolled in at least one term or course of instruction that is one of the following:
 - an academic program; *or*
 - a course for credit that could be applied toward fulfilling the requirements for an academic degree; *or*
 - an occupational or vocational program that requires at least 3 months or 300 clock hours of instruction to receive a degree, certificate, or other formal award; *or*
 - non-credit remedial coursework *within a Title IV eligible program* (up to 30 semester or trimester hours, 45 quarter hours, or 900 clock hours). Students who are enrolled solely in a remedial program are not eligible.
2. The student was not enrolled concurrently in high school and your institution for the *entire* time he or she was enrolled at your institution. If the student completes high school and continues to be enrolled in a postsecondary course at your institution any time during the period specified in Step 1, the student is eligible.

3. The student was not enrolled in your institution during this *entire* period solely for the purpose of earning a general equivalency diploma (GED) or finishing another high school completion program. If the student completes such a program at your institution and then enrolls in another course of instruction there at any time during the above dates, the student is eligible.
4. The student did not drop out of your institution early enough to receive a *full refund* of their tuition.
5. The student did not pay tuition during these dates *solely* to a different institution..

Step 2: Prepare Student Enrollment List

Accepted File Types

You may choose to submit your Student Enrollment List as a comma-delimited (CSV) file or as an Excel spreadsheet. If you use another file type or layout, or codes other than those in Table 1, please provide us with a layout of your list and a detailed description of the codes.

Please provide the information listed in the file layout, shown in Table 1 below, for each student. You may enter a blank space for missing values.

A special focus of this NPSAS will be students who receive baccalaureate degrees during the 2015-2016 academic year. In Fields 14 and 15 in the file layout, we ask you to identify each student who has received a baccalaureate degree since July 1, 2015 (Field 14) or is expected to receive a baccalaureate degree between now and June 30, 2016 (Field 15). Please do not leave these fields blank unless your school does not award baccalaureates.

Step 3: Check for Errors

Please take the time to review your list for errors, including the following common errors:

- Is the contact information provided associated with the correct name (i.e., make sure that the “rows did not shift”)?
- Is educational level (Field 9) provided for all students?
- If your institution awards baccalaureate degrees, is baccalaureate degree status (Fields 14 and 15) provided for all students?
- Did you include all eligible students from all campuses/schools (e.g., law school, medical school) reported under your UNITID?

Step 4: Provide Preparer’s Contact Information

When you submit your Student Enrollment List on our secure website, we ask that you provide the following information. (It will expedite the process if you have this information at hand when you are ready to submit your list).

1. **List Date:** Please record the date your student list was prepared, even if it is not the same as the date you submit the list.
2. **Contact Information:** Please provide the **name**, **department**, **e-mail address**, and **phone number** for all individuals responsible for preparing your Student Enrollment List. We will contact them only if we have questions.
3. **Comments:** Provide any details that will clarify the layout of the enrollment list you are submitting, as well as any information necessary to correctly interpret the data provided. Define any special codes or abbreviations (e.g., major codes, class levels).

Table 1. File Layout for NPSAS Student Enrollment List

Student data element	Code	Max field length
1. IPEDS UNITID		6
2. First name		100
3. Middle initial		50
4. Last name		100
5. Name suffix (e.g., Jr., Sr., III, etc.)		50
6. Student ID		10
7. Social Security Number (SSN)		9
8. Date of birth (MM/DD/YYYY)		10
9. Educational level	U = Undergraduate M = Masters D = Doctoral-research/scholarship/other P = Doctoral-professional practice O = Other graduate	1
10. Class level of undergraduates	1 = First year 2 = Second year 3 = Third year 4 = Fourth year 5 = Fifth year	1
11. High school completion date (MM/DD/YYYY)		10
12. Student was enrolled in high school during 2015-16	Y = Student is or was enrolled in high school between July 1, 2015 and June 30, 2016 N = Student was not enrolled in high school between July 1, 2015 and June 30, 2016 X = Unknown	1
13. Date of first enrollment (MM/DD/YYYY)		10
14. Received baccalaureate degree since July 1, 2015	Y = Student has received a baccalaureate degree since July 1, 2015 N = Student has not received a baccalaureate degree since July 1, 2015 X = Unknown	1
15. Expected to receive baccalaureate degree between the creation of this list and June 30, 2016	Y = Student is expected to receive a baccalaureate degree between now and June 30, 2016 N = Student is not expected to receive a baccalaureate degree between now and June 30, 2016 X = Unknown	
16. Undergraduate degree program	0 = Not in a postsecondary award, certificate, diploma, or degree program 1 = Postsecondary award, certificate or diploma of less than two academic years (less than 1800 contact or clock hours) 2 = Associate's degree 3 = Postsecondary award, certificate, or diploma of at least two but less than four academic years (at least 1800 contact or clock hours) 4 = Bachelor's degree or equivalent	1
17. Student's major for baccalaureate degree (or degree program if not pursuing baccalaureate) ¹		30

Student data element	Code	Max field length
18. Student's Classification of Instructional Programs (CIP) code for baccalaureate degree (or degree program if not pursuing baccalaureate) ²	---.----	7
19. Local address 1		100
20. Local address 2		100
21. Local city		100
22. Local state		2
23. Local ZIP code		9
24. Local phone number – area code		3
25. Local phone number – without area code		7
26. Cell phone number – area code		3
27. Cell phone number – without area code		7
28. Campus e-mail		100
29. Permanent address 1		100
30. Permanent address 2		100
31. Permanent city		100
32. Permanent state		2
33. Permanent country (if not U.S.)		50
34. Permanent ZIP code		25
35. Permanent phone number – country code (if not U.S.)		4
36. Permanent phone number – area code		5
37. Permanent phone number – without area code		25
38. Permanent e-mail		100
39. Grade point average (GPA)	---	3
40. Number of credits accumulated		3
41. Account overdue	Y = Yes, money is owed N = No, money is not owed	1
42. Veteran status	Y = U.S. military veteran N = Not a U.S. military veteran X = Unknown	1
43. Ethnicity	0 = Not Hispanic or Latino 1 = Hispanic or Latino X = Unknown	1
44. Race: White	Y = Yes N = No	1
45. Race: Black or African American	Y = Yes N = No	1
46. Race: Asian	Y = Yes N = No	1
47. Race: American Indian or Alaska Native	Y = Yes N = No	1
48. Race: Native Hawaiian or Pacific Islander	Y = Yes N = No	1
49. Sex	1 = Male 2 = Female	1

Student data element	Code	Max field length
50. First-time graduate student indicator	Y = First-time graduate student between July 1, 2015 and June 30, 2016 N = Not a first-time graduate student between July 1, 2015 and June 30, 2016 X = Unknown	1
51. Currently enrolled	0 = No 1 = Yes, and attending 2 = Yes, but not attending	1
52. If not currently enrolled, date of last attendance (MM/DD/YYYY)		10
53. Enrolled in an academic program	Y = Yes N = No	1
54. Enrolled in at least one course for credit that could be applied toward fulfilling the requirements for an academic degree	Y = Yes N = No	1
55. Enrolled in noncredit remedial coursework that is eligible for Title IV aid	Y = Yes N = No	1
56. Enrolled in an occupational or vocational program that requires at least 3 months or 300 clock hours of instruction to receive a degree, certificate, or other formal award	Y = Yes N = No	1
57. Paid tuition to this institution	Y = Yes N = No	1
58. Paid tuition solely to another institution (not this institution)	Y = Yes N = No	1
59. Withdrew and received a full tuition refund	Y = Yes N = No	1

¹ Please provide an explanation of any abbreviations or codes used for major.

² The Classification of Instructional Programs (CIP) provides a taxonomic scheme that supports the accurate tracking and reporting of fields of study and program completions. For more information about the Classification of Instructional Programs, see <http://nces.ed.gov/ipeds/cipcode/>.

4. **Exclusion counts:** Please provide counts of the students that were excluded from your Student Enrollment List by the categories provided (e.g., student requested that their information not be provided to external parties).

Step 5: Submit Enrollment List

Upload to the NCES Postsecondary Data Portal Website

Please upload your completed list to the secure NCES Postsecondary Data Portal website (<https://surveys.nces.ed.gov/portal>). **Uploading is the most secure and most efficient method for submitting your list.**

After logging in, click “Provide Your Student Enrollment List,” then follow the on-screen instructions. You will be asked to provide your Student Enrollment List as well as the information you gathered in Step 4.

If you are unable to upload your list, please contact us to make other arrangements.

**For assistance, please contact the NPSAS Help Desk at
1-855-500-1441 or
PortalHelp@rti.org.**

Study Specific FAQs

(These FAQs are specific to NPSAS and are available after the user has logged in to the website.)

NPSAS FAQs

This section contains answers to frequently asked questions (FAQs) about the National Postsecondary Student Aid Study (NPSAS). Because institutions have multiple tasks to complete in response to this data collection, the following sets of questions provide both general and specific guidelines for an institution's staff to review.

You can access general FAQs about this website [here](#).

Background and Purpose of NPSAS

Why are institutions contacted months before NPSAS data are needed?

Because we recognized the effort and commitment needed by institution staff to complete this study, NCES and RTI International are committed to working alongside the institution staff to ensure both the quality and timeliness of the data. Providing institutions with the basic information to start planning several months ahead of the earliest deadline for student enrollment lists, offers institution staff additional time to develop an action plan to address each of the data collection steps.

What is this study all about?

The National Center for Education Statistics (NCES), as part of the U.S. Department of Education, is authorized by federal law to collect, analyze, and publish statistics and other data related to education in the United States and other nations. NPSAS is designed to describe how students meet the cost of education beyond high school. Data are obtained from student records and student interviews. NPSAS will collect information on students' demographics, enrollment, employment, education and living expenses, and (if any) the type of financial assistance received by students (grants, scholarships, loans, awards, and stipends). NPSAS includes students from all types of postsecondary schools—private-for-profit institutions, public and private not-for-profit 2- and 4-year colleges and universities, and less than 2-year institutions in the 50 states, the District of Columbia, and Puerto Rico.

How was my institution selected?

Your institution was scientifically sampled from all Title IV institutions. To be eligible for inclusion in the institution sample, an institution must have satisfied the following conditions: (1) offered an education program designed for persons who have completed secondary education; (2) offered an academic, occupational, or vocational program of study lasting at least 3 months or 300 clock hours; (3) offered access to the general public, except for U.S. service academies; and (4) been located in the 50 states, the District of Columbia, or Puerto Rico.

What is the purpose of this study?

The quality and affordability of postsecondary education are vital concerns for students and their families. That is why the information gathered by NPSAS is so important. The study explores how students pay for education after high school, and it provides comprehensive data on the enrollment status, education goals, employment, and demographic characteristics of postsecondary students.

What is the role of the Institution Coordinator?

During the early notification phase in the Fall, RTI contacts the chief administrative officer (CAO) at each of the sampled institutions to inform the CAO about the study and ask that he or she appoints an Institution Coordinator for NPSAS. The coordinator's role is to serve as a liaison between the institution and RTI for this study, assisting with all data collection efforts for NPSAS. The Institution Coordinator may need to collaborate with staff in other units within the institution to obtain the requested information.

What are the steps involved with data collection?

NPSAS data collection comprises the following steps:

- The institution's chief administrator names an Institution Coordinator for NPSAS.
- The Coordinator completes the Institution Registration Page on the website.
- The Coordinator provides a list of enrolled students.
- A sample of students is selected from the provided list.
- The Coordinator provides student records data for the sampled students.
- Sampled students complete a student questionnaire.

How much time will NPSAS take to complete?

The total time required to complete all the tasks for this study is estimated to average about 25 hours per institution. This estimate includes the time expected to complete the Institution Registration Page (4.8 minutes), prepare the student enrollment list (2.75 hours), and to provide the student record data (22 hours). If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this survey, please write to the U.S. Department of Education, Washington, DC 20202-4651. If you have comments or concerns regarding the status of your individual survey, write directly to the U.S. Department of Education, National Center for Education Statistics, 1990 K Street, NW, Room 9018, Washington, DC 20006-5652.

Creating the Student Enrollment List

How will the sample at my institution be selected?

The list that you provide to RTI International will be used to select an independent random sample of potential baccalaureate recipients; other undergraduates; and master's, doctoral, and other graduate students, where appropriate.

How long will it take to create the student enrollment list?

The time required to create the list of enrolled students is estimated to average 2.75 hours. This includes time for reviewing list preparation instructions and preparing the student enrollment list.

What do I need to do?

First, complete the Institution Registration Page, which requests specific information about the term/enrollment periods at your institution as of the 2015-16 academic year.

Next, create a data file listing all students enrolled at your institution at any time between July 1, 2015 and April 30, 2016. Please review the Student List Preparation Instructions for more information. You can upload the stu-

dent list or e-mail your list as an encrypted file to PortalHelp@rti.org. Lists are due to RTI within 2 weeks following the beginning of the last term at your institution that begins on or before April 30, 2016.

Refer to the Student List Preparation Instructions for more information on the transmittal options and to determine what additional information is needed when uploading or e-mailing your list of enrolled students.

Why do you need students' home addresses and telephone numbers?

Students can be very mobile and are often difficult to reach. The contact information you provide ensures that we can reach all sampled students and enables us to encourage their participation in this important study. Only those students selected to complete a student interview will be contacted.

This information is protected by the Education Sciences Reform Act of 2002 (ESRA). All individually identifiable information supplied by individuals or institutions for this study may be used only for statistical purposes and may not be disclosed or used in identifiable form for any other purpose, except as required by law (20 U.S.C. § 9573).

If release of this information requires a special review process at your institution, please contact the Help Desk at 1-855-500-1441 or send e-mail to PortalHelp@rti.org. We will supply information about the study and the laws protecting the confidentiality of the data collected to all those involved in the process, and we will work with you to expedite the return of the other data items requested on the list of enrolled students.

Why do you ask for date of birth?

We are required to receive parental permission before contacting any students who are not yet 18 years old.

When do you need the list of enrolled students?

Transmit the list of enrolled students as early as possible by going to the Task Menu, and selecting the "Provide Your Student Enrollment List" option. If you need assistance, contact the Help Desk.

Enrollment lists will be collected beginning in January 2016. We will send a packet to the assigned coordinator at each institution that will include a due date for the enrollment list along with how to access instructions for preparing and transmitting the list. The specific due date for each institution is based on its term structure and is determined after the Institution Registration Page is completed.

It is critical that we receive your enrollment list in a timely manner so that the students that we sample from your institution have time to complete the student interview before leaving for the summer.

Please contact RTI at 1-855-500-1441 or contact us via e-mail at PortalHelp@rti.org if you have any questions or concerns about submitting your enrollment list.

My institution uses different student educational level classifications than you request, so how should I provide levels?

If possible, please categorize the students using the student educational level categories that we request. However, if this is not possible, then please classify the students as your institution's records indicate and provide us with the definitions of these classifications in an e-mail to PortalHelp@rti.org. Remember to include your Integrated Postsecondary Education Data System (IPEDS) UNITID in all correspondence.

What should I do if I cannot provide students' first names, middle initials, last names, and name suffixes as four separate fields?

When uploading your file on the website, simply let us know how your file is constructed by providing comments in the text box located on the upload page or send an e-mail to PortalHelp@rti.org.

Why do I need to provide Social Security numbers (SSNs) in addition to student ID numbers?

We will use the SSNs of the sample students to match against the U.S. Department of Education's Central Processing System (CPS) database which contains information from the Free Application for Federal Student Aid (FAFSA). For those sample students who applied for federal financial aid, we will utilize data available from the CPS to reduce the amount of data that institutions will need to provide during student records collection.

The release of this information to NCES without explicit consent is permissible under the Family Educational Rights Privacy Act (FERPA). FERPA explicitly states that an educational institution may disclose personally identifiable information from an education record of a student without prior consent if the disclosure is to authorized representatives of the Secretary of Education (20 U.S.C. § 1232g[b][3]), which RTI is as contractor for NCES. A definition of personally identifiable information can be found in 34 CFR 99.3. Personal identifiers, such as Social Security number and student number, are included in the definition. You can review this legislation on the U.S. Department of Education's website.

What if my institution does not have student ID numbers separate from SSNs?

If your institution does not have separate student ID numbers, then either leave the student ID field blank or put SSN in the student ID field.

What will happen to the student list file after you select the sample?

The U. S. Department of Education has strict requirements to protect Personally Identifiable Information (PII). This data will be stored securely on an Enhanced Security Network, which is certified and accredited as a NIST-moderate security level network. The Department and RTI employ strict procedures for protecting the confidentiality of PII and other sensitive information in all phases of the project. Particular emphasis is placed on guidelines for the transfer of PII; maintenance, storage, and use of direct identifiers; replacement of direct identifiers with internal codes; security of master survey files; and reporting of data security breaches in accord with the U.S. Department of Education Incident Handling Procedures. For more information on NIST security level, please see FIPS Publication 199.

What is meant by Account Overdue?

For the purposes of this study, a "Y" to this variable indicates that the student owes money to the extent that your institution would hold his degree/certificate (if earned) until the account balance was reduced. This is not intended to collect information on students that are on a payment plan with the institution.

Student Enrollment List: which students to include

Should I include students at branch or extension campuses on the list?

The answer to this question depends on how the branch or extension campus is listed in the U.S. Department of Education's Integrated Postsecondary Education Data System (IPEDS). If the branch or extension campus reports to IPEDS through the same IPEDS UNITID as the institution we have sent the NPSAS packet to (our sampled institution), then include students from the branch or extension campus on the student enrollment list. If the branch or extension campus reports to IPEDS through a different IPEDS UNITID, then do not include the students from the branch or extension campus on the student list.

If you have questions about whether the students enrolled at a particular site should be listed, please call the Help Desk at 1-855-500-1441 or send e-mail to PortalHelp@rti.org.

Should I include students enrolled through another registrar's office (e.g., law, dental, medical, or veterinary school) on the list of enrolled students?

If the other registrar's office reports to the U.S. Department of Education's Integrated Postsecondary Education Data System (IPEDS) through the same IPEDS UNITID as the institution we have sent the NPSAS packet to (our sampled institution), then students registered by this office should be included. However, if the other registrar's office reports using a separate IPEDS UNITID, then students registered by this office should not be included.

If you have questions about whether the students enrolled at a particular school should be listed, please call the Help Desk at 1-855-500-1441 or send e-mail to PortalHelp@rti.org.

Because this is a financial aid study, should I include on the list of enrolled students those who did not apply for or did not receive financial aid?

Yes, NPSAS includes aided as well as non-aided students.

If all students enrolled between July 1, 2015 and April 30, 2016 are eligible, does it matter when the terms began or ended?

No. If a student was enrolled in a term that began prior to July 1, 2015, the student is eligible as long as he or she was still enrolled on July 1, 2015. Similarly, a student who was enrolled on April 30, 2016 is eligible, even if the term continues past that date.

Eligibility Determination Option A: Additional FAQs if Student Eligibility is Determined by NPSAS After Collecting Lists

Whom should I include on my student list?

Your enrollment list should include students from all campuses/schools (e.g., law school, medical school) reported under your IPEDS UNITID. Include students enrolled between July 1, 2015 and April 30, 2016.

Whom should I exclude from my student list? Which students at my institution are ineligible for NPSAS?

Please exclude all students who were not enrolled at your institution between July 1, 2015 and April 30, 2016.

Should I include students who enrolled but later withdrew without completing any courses?

Yes. Include all eligible students who enrolled and paid their tuition and fees.

Should I include students taking courses on this campus when this is not the students' home institution?

Yes. Include students on your enrollment list who pay their tuition solely to another institution. Please be sure to indicate this tuition arrangement on your list as requested.

Should I include on the enrollment list non-matriculated students, students in non-degree programs, part-time students, post-baccalaureate students, students taking correspondence courses, distance education students, foreign exchange students, continuing education students, extension division students, etc.?

Yes, include these students on the list. Note that even students not enrolled in a formal degree program should be included on the list. For example, someone who is taking a credit-bearing computer programming course to enhance his or her job skills should be included on the enrollment list.

Should I include graduate students on the list of enrolled students if they were enrolled in a graduate program but were only auditing courses (e.g., because they did not need any more credits for graduation)?

Yes, students enrolled in academic programs should be included on the list, even if they are not currently enrolled for credit.

Should I include international students on the student enrollment list?

Yes. International students should be included on the student enrollment list.

Eligibility Determination Option B: Additional FAQs if Student Eligibility is Determined by Institutions Before Providing Lists

Whom should I include on my student list? Which students at my institution are eligible for NPSAS?

Your enrollment list should include students from all campuses/schools (e.g., law school, medical school) reported under your IPEDS UNITID. Include students enrolled between July 1, 2015 and April 30, 2016 if they meet all of the following eligibility requirements (this text links to the Student List Instructions).

Whom should I exclude from my student list? Which students at my institution are ineligible for NPSAS?

Please exclude all students who were not enrolled at your institution between July 1, 2015 and April 30, 2016, or who meet at least one of the following criteria:

- The student was not eligible for Title IV financial aid.
- The student was enrolled concurrently in high school and your institution during this entire period.
- The student was enrolled in your institution during this entire period solely for the purpose of earning a general equivalency diploma (GED) or finishing another high school completion program.
- The student was enrolled in your institution during this period but not receiving credit.
- The student dropped out of your institution early enough to receive a full tuition refund.
- The student paid tuition solely to a different institution during this period.

Should I include students who enrolled but later withdrew without completing any courses?

Include all eligible students who enrolled and paid their tuition and fees unless they withdrew early enough to receive a full refund of their tuition and fees. Please refer to the eligibility requirements.

Should I include students taking courses on this campus when this is not the students' home institution?

No, do not include students on your enrollment list who pay their tuition solely to another institution. We consider students to be enrolled at the institution to which they pay their tuition.

Should I include on the enrollment list non-matriculated students, students in non-degree programs, part-time students, post-baccalaureate students, students taking correspondence courses, distance education students, foreign exchange students, continuing education students, extension division students, etc.?

Yes, include these students on the list if they otherwise satisfy the student eligibility requirements. Note that even students not enrolled in a formal degree program are eligible for the study. For example, someone who is taking a credit-bearing computer programming course to enhance his or her job skills would be considered eligible, and should be included on the enrollment list.

Should I include graduate students on the list of enrolled students if they were enrolled in a graduate program but were only auditing courses (e.g., because they did not need any more credits for graduation)?

Yes, students enrolled in academic programs are eligible for this study, even if they are not currently enrolled for credit.

Should I include international students on the student enrollment list?

Yes. International students should be included on the student enrollment list as long as they meet the other eligibility criteria (this text links to the Student List Instructions).

NPSAS Reference Materials

- NPSAS Brochure
- Endorsements
- Confidentiality Fact Sheet
- Chief Administrator cover letter
- Coordinator welcome letter
- Overview of NPSAS Activities
- Coordinator list request letter
- Student List Preparation Instructions
- Disclosure Notice

Confidentiality Fact Sheet

FACT SHEET: CONFIDENTIALITY LAWS and THE 2015-16 NATIONAL POSTSECONDARY STUDENT AID STUDY

Your institution has been selected to participate in the 2015-16 National Postsecondary Student Aid Study (NPSAS:16). NPSAS is designed to provide information on how students and their families meet the cost of education beyond high school. Lists of students provided by institutions will be used to select a sample of students who will be asked to complete a questionnaire online.

Data Collected for NPSAS

The information collected for students includes demographic information used for sampling (such as race/ethnicity), contact information used to inform respondents of the survey request (such as address and telephone number) and personal identifiers (such as Social Security numbers and student ID), which are used to unduplicate lists of students and to match students against federal financial aid records. The security of this information is, of course, of paramount importance to the U.S. Department of Education's National Center for Education Statistics (NCES) and its contractors, as well as to participating institutions and respondents. It is important for each institution sampled to be fully aware of the federal laws that both authorize the release of student information, and protect the confidentiality of record data and survey responses.

Data Collected for NPSAS is Authorized by Congress

The Education Sciences Reform Act (ESRA) of 2002 (20 U.S.C. 9543) authorizes NCES to collect, acquire, compile, and disseminate full and complete statistics on the condition and progress of education, including postsecondary education. The provisions of ESRA can be found at the following website: <http://www.ed.gov/policy/rschstat/leg/edpick-s.jhtml?src=ln>.

Federal Law Protects the Confidentiality of Data Collected for NPSAS

Both NCES and its contractor for NPSAS:16, RTI International, follow strict procedures to protect the privacy and confidentiality of study participants. All project staff members have signed confidentiality agreements and affidavits of nondisclosure. Any data released to the public will be in aggregate form (e.g., statistical tables, graphs). Information obtained may be used only for statistical purposes and may not be disclosed, or used, in identifiable form for any other purpose, except as required by law (Education Sciences Reform Act of 2002, 20 U.S.C. § 9573).

Federal Law Authorizes Release of Personally Identifiable Information to NCES and Its Agents

NPSAS:16 seeks both directory and personally identifiable information on students from institutions. The Education Sciences Reform Act of 2002 (20 U.S.C. 9543) authorizes NCES, and its current contractors (RTI International for NPSAS:16), to gather information from students on pivotal areas of national concern.

The data request for NPSAS fully conforms to the requirements of the Family Educational Rights and Privacy Act of 1974 (FERPA) [20 U.S.C. 1232g; 34 CFR Part 99]. FERPA is designed to protect the privacy rights of students and their families, by providing consistent standards for the release of personally identifiable student and family information. NCES and its agent, RTI International, are explicitly authorized under an exception to FERPA's general consent rule (in which the right to consent is held by the student, regardless of age) to obtain student level data from institutions. This exception provides for the collection of data on any eligible student, without prior consent if the disclosure is to an organization administering studies for, or on behalf of educational agencies or institutions.

FERPA requires educational institutions to maintain a record of the disclosure of student information to NCES (see 34 CFR 99.32). The record of disclosure must include 1) the parties who have requested or received personally identifiable information records (NCES/RTI) and 2) the legitimate interests the parties had in obtaining the information (the 2015-16 National Postsecondary Student Aid Study).

For questions regarding the applicability of FERPA to this study, school officials may contact the Family Policy Compliance Office (FPCO) at this email address: FERPA@ed.gov. The provisions of FERPA may be found at the following website: <http://www.ed.gov/policy/gen/guid/fpco/ferpa/index.html>.

Review Processes to Protect Privacy Rights of Respondents

In addition to being authorized by legislation to collect personally identifiable information, NPSAS:16 is subject to detailed review by the U.S. Department of Education's Regulatory Information Management Group and the Office of Management and Budget.

A plan for ensuring confidentiality of this project has been developed by NCES and RTI. This plan includes signed confidentiality agreements obtained from all personnel who will have access to individual identifiers, personnel training regarding the meaning of confidentiality, and controlled access to computer files.

All electronic data from institution records and students will be carefully protected. Computer accounts used to access electronic data will be password protected. Only project staff members with clearance from the study database manager will be able to log on to these accounts. Personally identifying variables (e.g., name, address, and phone numbers) will be kept separate from data variables such as educational experience or financial aid.

All hardcopy records will be maintained in locked storage cabinets. A unique study identification variable (not the Social Security number or student ID) will be created and maintained for each survey participant to protect against inadvertent disclosure of confidential data. Any data released to the general public (for example, statistical tables) will be tailored so that it is not possible to identify specific individuals or institutions.

Disclosure Notice

2015-16 National Postsecondary Student Aid Study (NPSAS:16)

DISCLOSURE NOTICE FOR NPSAS:16

Information from student records for this individual has been provided to RTI International, a data collection agent for the U.S. Department of Education for NPSAS:16. This disclosure statement fulfills the requirement of 34 CFR 99.32(a) pursuant to the Family Educational Rights and Privacy Act of 1974 (20 U.S.C. 1232g).

Strict protection of all information obtained for NPSAS:16 is assured by current federal laws and regulations. All responses that relate to or describe identifiable characteristics of individuals may be used only for statistical purposes and may not be disclosed or used in identifiable form for any other purpose, except as required by law (20 U.S.C. § 9573).

April 2015

OMB # 1850-(insert number)

Expiration Date: (insert date)

Appendix E
Script for Eligibility Screening Calls

Script for Eligibility Screening Calls

The first step in Institutional Contacting involves placing eligibility screening calls to sampled institutions. These calls will serve to confirm institutional eligibility and verify contact information prior to the initial mailing of the chief administrator packet. The calls will be made by trained institutional contactors. Below is a sample script that the institutional contactors will be given to use when making these calls.

“Hello, my name is _____ and I am calling on behalf of the US Department of Education. I’m calling to verify the contact information we have for your Chief Administrator and ask a few questions about your institution. We have (NAME OF CHIEF ADMINISTRATOR) listed as your Chief Administrator.” **VERIFY SPELLING.** “Is this correct?” **UPDATE AS NEEDED.**

“Is his/her official title (JOB TITLE)?” (THIS IS OFTEN PRESIDENT, CHANCELLOR, OR CHIEF EXECUTIVE OFFICER/CEO.) **UPDATE AS NEEDED.**

“We have the address as (STREET ADDRESS) in (CITY, STATE, ZIP).” **VERIFY SPELLING.** “Is that correct?” **UPDATE AS NEEDED. IF THEY PROVIDE A P.O. BOX OR OTHER NON-PHYSICAL ADDRESS, SAY** “We need to send a FedEx. Can you please tell me the physical address (like bldg. and room number)?”

“Is (PHONE #) the best number for reaching (NAME OF CHIEF ADMINISTRATOR)?” **UPDATE AS NEEDED.**

Is this the correct e-mail for him/her: (EMAIL)? **UPDATE AS NEEDED.**

IF ELIGIBILITY IS UNCERTAIN OR THE SCHOOL IS A FOR PROFIT, ASK TO BE CONNECTED WITH THE CHIEF ADMINISTRATOR’S OFFICE TO ASK THE FOLLOWING QUESTIONS:

“Does your institution offer at least one educational program or course at the postsecondary level (for students who have completed secondary education)?”

- Yes
- No
- Don’t Know

“Do you offer at least one academic, occupational, or vocational program lasting at least 3 months or 300 clock hours?”

- Yes
- No
- Don’t Know

“Is the institution open to the general public—meaning attending it is not restricted to employees of a company or members of a group like a union? (For example, some schools are administered by organizations and only offer courses to their own employees.)”

- Yes
- No
- Don’t Know

“Is this institution eligible to participate in Title IV aid programs?”

- Yes
- No
- Don’t Know

THANK RESPONDENT.

Appendix F

Endorsing Associations for NPSAS:16

Endorsing Associations

ACPA- College Student Educators International
American Association of Collegiate Registrars and Admissions Officers
American Association of Community Colleges
American Association of State Colleges and Universities
American Council on Education
Association for Institutional Research
Association of American Colleges and Universities
Association of Catholic Colleges and Universities
Association of Private Sector Colleges and Universities
Association of Public and Land-grant Universities
The Carnegie Foundation for the Advancement of Teaching
The College Board
Council of Graduate Schools
The Council of Independent Colleges
Hispanic Association of Colleges and Universities
Midwestern Higher Education Compact
NASPA- Student Affairs Administrators in Higher Education
National Association of College and University Business Officers
National Association of Independent Colleges and Universities
National Association of Student Financial Aid Administrators
New England Board of Higher Education
Southern Regional Education Board
State Higher Education Executive Officers
The United Negro College Fund
Western Interstate Commission for Higher Education